

UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF NEW YORK

March 12, 2012

- - - - -X

UNITED STATES OF AMERICA

- against -

Cr. No. 10-985 (S-2)(FB)

Pedro Espada, Jr., and
Pedro Gautier Espada

Defendant.

- - - - -X

THE GOVERNMENT'S EXHIBIT LIST

Loretta E. Lynch
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Eastern District of New York
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Brooklyn, New York 11201

Roger Burlingame
Todd Kaminsky
Carolyn Pokorny
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(Of Counsel)

GX #	Description	Offered	Admitted
1	restaurant receipts (Lobster House)		
2	receipt for garage door (Home Depot)		
3	receipt for front door (Home Depot)		
4	receipt for outdoor post light (Home Depot)		
5	receipt for fencing (Home Depot)		
6	receipt for fencing (Home Depot)		
7	receipt for fence accessories (Home Depot)		
7(a)	Stipulation: Home Depot Records		
8(a)-(g)	photographs, Pedro Espada's home in Mamaroneck		
9	receipts (City Windows)		
9(a)	Stipulation: City Windows Records		
10	receipts (Edible Arrangements)		
10(a)	Stipulation: Edible Arrangements		
11	"I'm a Fan of Pedro Espada" fan (Mailings Unlimited)		
12	receipt (Mailings Unlimited)		
13	emails and attachments (Mailings Unlimited)		
14	invoices (El San Juan hotel)		
15	receipts (Spa Finder)		
16	gift certificate (Ellen Marie Day Spa)		
17a	receipts (Casa Building)		
17b	brochure (Casa Building)		
17c	Stipulation: Casa Building		
18(a)-(g)	Norwich Spa records		
19a	PayPal transaction details		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
19b	photos (vending machine)		
20(a)	Chart - amounts by year and category		
20(b)	Chart - Park Florist		
20(c)	Chart - Edible Arrangements		
20(d)	Chart - All Travel		
20(e)	Chart - Misc. Charges		
20(f)	Chart - Home Improvements		
20(g)	Chart - Top 10 Restaurants -		
20(h)	Chart - All Food Charges -		
20(i)	Chart - Holiday		
20(j)	Chart - Misc. Thefts -		
20(k)	Chart - Top Most Expensive Restaurant Purchases		
20(l)	Chart - Albany Purchases/Senate Per Diem		
20(m)	Chart - Senate Per Diem and Albany Purchases		
20(n)	Chart - 2009 Vehicles Payments, Vendor Payments, Personal Payments, Rent Receipts and Payments from CCDC		
20(o)	Chart - 2008 Vehicles Payments, Vendor Payments, Personal Payments, Rent Receipts and Payments from CCDC		
20(p)	Chart - 2007 Vehicles Payments, Vendor Payments, Personal Payments, Rent Receipts and Payments from CCDC		
20(q)	Chart - 2006 Vehicles Payments, Vendor Payments, Personal Payments, Rent Receipts and Payments from CCDC		
20(r)	Chart - 2007 Vehicles Payments, Vendor Payments, Personal Payments, Rent Receipts and Payments from CCDC		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
20(s)	Chart - CEDC Payments to Relatives		
20(t)	Chart - SME Campaign Expenses		
20(u)	Chart - Personal Payments		
20(v)	Chart - 2007 SME Rent Receipts		
20(w)	Chart - American Express "double dipping"		
20(x)	Chart - Rent Payments (2005-09)		
21(a)	N. Ortiz email dated 4/1/08		
21(b)	N. Ortiz email dated 4/8/08		
21(c)	N. Ortiz email dated 3/19/08		
21(d)	N. Ortiz email dated 3/19/08		
21(e)	N. Ortiz email dated 3/22/08		
21(f)	N. Ortiz email dated 4/17/08		
22(a)	N. Ortiz email dated 6/4/08		
22(b)	N. Ortiz email dated 6/5/08		
23(a)	N. Ortiz email 9/10/08		
23(b)	N. Ortiz email 9/10/08		
23(c)	N. Ortiz email 9/10/08		
23(d)	N. Ortiz email 9/10/08		
23(e)	Flyer		
24(a)	N. Ortiz email 1/2/08		
24(b)	N. Ortiz email 6/23/09		
24(c)	N. Ortiz email 1/14/10		
24(d)	blank intentionally		
24(e)	N. Ortiz email 5/7/09		
24(f)	N. Ortiz email 12/4/08		
25(a)	N. Ortiz email dated 9/18/07		

GX #	Description	Offered	Admitted
25(b)	blank intentionally		
25(c)	N. Ortiz email dated 9/18/07		
25(d)	blank intentionally		
25(e)	N. Ortiz email dated 10/15/07		
25(f)	N. Ortiz email dated 10/15/07		
25(g)	N. Ortiz email dated 12/6/08		
26(a)	N. Ortiz email dated 4/21/08		
26(b)	N. Ortiz email dated 3/31/08		
27(a)	N. Ortiz email dated 10/16/08		
27(b)	N. Ortiz email dated 10/25/08		
28	N. Ortiz email dated 10/28/08		
29(a)	N. Ortiz email dated 8/26/08		
29(b)	N. Ortiz email dated 8/14/08		
30	2008 Amex Verification Chart		
31	2009 W-2 for Pedro Espada and back-up documents		
32	2008 W-2 for Pedro Espada		
33	2007 Amex Summary Document		
34	March 2007 Amex Pedro Espada Checks with back-up documents		
35(a)	2009 ADP quarterly report and draft W-2 for Pedro Espada		
35(b)	2009 Fringe Benefit Calculation		
35(c)	2009 Fringe Benefit Calculation		
36	2009 Amex charts		
37	2009 Amex charts		

GX #	Description	Offered	Admitted
38	P. Valdez e-mail 3/30/10		
39(a)	ADP record (part of GX 39)		
39(b)	2004-2006 Amex back-up documents		
40	2006 Amex back-up documents		
41	Phil Valdez - 10/28/08 email		
42	notice of personnel status change for Pedro Espada		
43	2009 quarterly ADP records for Pedro Espada		
44	4/27/07 Board Resolution re. Per Diem with bates-stamped version		
45	blank intentionally		
46	SME janitorial contract		
47(a)	12/30/09 email from Trotter to Valdez		
47(b)	2/4/10 SME check to CCDC		
48	2007 Pedro Espada receipts submitted for reimbursement		
49	2009 Pedro Espada receipts submitted for reimbursement		
50	blank intentionally		
51	receipts/check (Kevin Vargas/videographer)		
51(a)	CCDC Check Register (Kevin Vargas)		
52	N. Ortiz email 10/24/08		
53	Original Amex binder (recovered from P. Valdez office)		
54	1/27/10 email from Phil Valdez to Michael Martinucci		
55	Park Florist records (from P. Valdez's office)		

GX #	Description	Offered	Admitted
56	Per Diem/CCDC - Norma Ortiz		
57	Per Diem/CCDC - Norma Ortiz		
58	Rent checks - Maks Dental		
59	Additional Amex Records (from P. Valdez's Office)		
60	death certificate		
60(a)	Stipulation: Death Certificate		
61	Yonkers Raceway records		
62	Check		
63	Stip: Photographs/map		
64	9 Bronx Imaging Checks		
64(a)	2 Bronx imaging checks to CCDC		
65	check		
66	blank intentionally		
67	SME Invoices		
68	Marked-up Amex Statement *Note - contained with binder marked GX 53		
69	Espada Housing Allowance Check		
70	Vacation Requests		
71	Vacation Requests		
72	blank intentionally		
73	Espada for the People Check		
74	Stipulation: records recovered from Soundview during search		
75	Stipulation: Legal Seafood		
76	Stipulation: Haiku Asian Bistro		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
77	Stipulation: Seasons Japanese		
78	receipts (Home Depot)		
79	receipts (Home Depot)		
80	CCDC Schedule of Additional Compensation for Pedro Espada, Jr.		
81	Crystal Jordan Contract		
82	receipts		
83	Consultant contract - Alex Espada		
84	Check request		
85	12/31/06 CCDC and Affiliate consolidated financial statements		
86	12/31/07 CCDC and Affiliate consolidated financial statements		
87	1/19/83 memo		
88	10/12/83 memo		
89	employment agreement 9/1/89		
90	Form 2 - Staffing Profile		
91	St. Thomas Conference Flyer 5/31 to 6/3/05		
92	Pedro Espada, Jr. CV		
93	Promissory Note		
94	6/25/08 Norma Ortiz email		
95	2009 New York State Vendor Responsibility Questionnaire		
96	Payroll Journal - Community Expansion		
97	3/24/10 Phil Valdez e-mail		
98	11/12/07 letter announcing clinic relocation		

GX #	Description	Offered	Admitted
99	Citibank Records - Connie and Pedro Espada, Jr. (complete)		
99(a)	Stip: Citibank Records		
100	invoice (video for Pedro G. Espada, Jr.'s birthday 4/28/07)		
100a	Video of 6/6/06 birthday party - EDITED		
100b	Video of 6/6/06 birthday party - UNEDITED		
100(c)	N. Ortiz email of 4/17/07 re. video for Pedro G. Espada, Jr.'s birthday party on 4/28/07		
100(d)	N. Ortiz email of 7/28/07 re. video for Pedro G. Espada, Jr.'s birthday party on 4/28/07		
100(e)	E. Lopez email of 7/29/07 re. video for Pedro G. Espada, Jr.'s birthday party on 4/28/07		
100(f)	N. Ortiz email of 5/29/08 regarding Alana Espada's birthday party on 6/7/08		
101	Stills from 6/6 Birthday Party		
101a	Stills from 6/6 Birthday Party		
101b	Stills from 6/6 Birthday Party		
101c	Stills from 6/6 Birthday Party		
102	invoice (Bronx Equestrian)		
103	Citibank Records - CCDC		
104	Citibank Records - CEDC		
105	Banco Popular - CEDC		
105(a)	Stip: Banco Popular		
106	Chase Bank - CCDC		
106(a)	Stip: Chase Bank		
107	HSBC - SME		
107(a)	additional HSBC-SME records		

GX #	Description	Offered	Admitted
108	HSBC - Regal Realty		
108(a)	stip: HSBC		
109	call tickets, invoices (HV-AC repair)		
110	call tickets, invoices (HV-AC repair)		
111(a)-(b)	audio tapes of interviews of Pedro Espada by Don MacLaren		
112(a)-(b)	transcripts of audio taped interviews with Don MacLaren		
113	draft contract (Don Maclaren)		
114	fax cover and contract (Bay Palm Realty)		
115	checks (Bay Palm Realty)		
116	12/6/07 letter from Pedro Espada to PIP printing		
117	printing orders (PIP Printing)		
118	8/6/09 email and letter attach. (Laurence Laufer)		
119	blank intentionally		
119(a)-(b)	CEDC checks to Huntington Learning Center		
120	Carlos Masette attendance records, Huntington Learning Center		
120(a)	Stipulation: Huntington Learning		
121	Preston H.S. records for Angelina Gonzalez		
121(n)	Stipulation: Preston H.S.		
122(a)-(g)	Phyl's Flowers records		
122(h)	Stipulation: Phyl's Flowers		
123(a)-(c)	St. John's University records for Angelina Gonzalez (a), and checks ((b)-(c)).		
123(d)	Stipulation: St. John's		
124	Mercedes records		

GX #	Description	Offered	Admitted
124(a)	Stip: Mercedes Records		
125	Bentley records		
125(a)	Stip: Bentley records		
126	GMC records		
126(a)	Stip: Milea Auto Records		
127	2007 reimbursement receipts (for Pedro G. Espada)		
128	HSBC Soundview Records		
128(a)	HSBC Soundview records (statements only for GX 128)		
129	2008 reimbursement receipts (for Pedro G. Espada)		
130	2008 reimbursement receipts (for Pedro G. Espada)		
131	1/9/07 letter and attachment re. 2005 1040		
132	6/6/06 fax cover RE: 572 Leland		
133	12/16/05 Ltr RE: 572 Leland		
134a	5/3 1PM Phone receipt		
134b	phone receipt		
135	2005 schedule E worksheet		
136	2004 schedule E worksheet		
137	2003 schedule E worksheet		
138	Feb. 25, 2011 letter to Pedro Espada		
139	blank intentionally		
140			
141			
142			

GX #	Description	Offered	Admitted
143			
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149			
150			
151(a)	Chart: CEDC Misappropriations		
151(b)	Chart: Janitorial Schedule		
151(c)	Chart: Rent Payment		
152	CEDC Amex records		
153	Pedro Espada exemplars		
154	Pedro Gautier Espada exemplars		
154(a)	Stipulation: Handwriting		
155	CEDC accounting ledger, and Pedro Gautier Espada exemplar		
156	2 pages from 2007 Pedro and Connie Espada tax return, labeled "Q-25-1 to 2"		
157	evidence envelope, handwriting samples		
158	Pedro Gautier Espada (K-2 writer's) ID chart (handwriting analyst)		
159	Pedro Espada (K-1 writer's) ID chart (handwriting analyst)		
160	Pedro Espada (K-1 writer's) "Strong Probability Chart #2" (handwriting analyst)		
161	Pedro Gautier Espada (K-2 writer) "Strong Probability Chart" (handwriting analyst)		

GX #	Description	Offered	Admitted
162	Pedro Espada (K-1 writer's) "Strong Probability Chart #1" (handwriting analyst)		
163			
164			
165			
166			
167			
168			
169-198	<i>intentionally left blank</i>		
199	Transcript of 2006 - Pedro and Connie Espada's tax returns		
200	2009-2010 absence of return for Pedro and Connie Espada		
201	Pedro and Connie Espada's 2003 tax return (official)		
202	Pedro and Connie Espada's 2004 tax return (official)		
203	CEDC 2004 tax return (official)		
204	Pedro and Connie Espada's 2005 tax return (official)		
205	Pedro and Connie Espada's 2006 tax return (official)		
206	CEDC 2005 tax return (official)		
207	Pedro and Connie Espada's 2007 tax return (official)		
208	Pedro and Connie Espada's 2007 amended tax return (official)		
209	certificate of absence of 2007 tax return for CEDC (official)		
210	certificate of absence of 2008 tax return for CEDC		

GX #	Description	Offered	Admitted
	(official)		
211	Pedro and Connie Espada's 2008 tax return (official)		
211(a)	Stip: IRS Records		
212-15	left blank intentionally		
216	annotated CEDC checks (2006 and 2007)		
216(a)	original \$3,000 check, copy of which is found in 216 and marked "Q-214-2."		
217	annotated CEDC checks (2006 and 2007)		
218	marked-up CEDC quickbooks ledger for 2005		
219	July 2005 through June 2006 CEDC quickbooks ledger		
220	Mercedes paperwork		
221	2/11/08 email and attachment		
222	2/13/08 email and attachment		
223	2/28/08 emails		
224	3/4/08 email		
225	4/11/08 email		
226	7/9/08 email and attachment		
227	1/1/06 to 12/31/06 CEDC quickbooks ledger with email		
228	8/15/08 email		
229	10/6/08 email		
230	12/2/08 email		
231	12/2/08 email		
232	12/10/08 email		
233	12/23/08 email with attached checks		

GX #	Description	Offered	Admitted
234	1/1/07 to 12/31/07 CEDC quickbooks ledger with email		
235	1/9/08 email		
236	7/1/08 email		
237	CEDC Amex transactions 2007		
238	2003 CEDC tax return		
239	IRS correspondence		
240	p. 7 of Board minutes		
241	CEDC chart		
242-44	<i>Intentionally left blank</i>		
245	SME Articles of Incorporation		
246	Soundview Articles of Incorporation		
247	Espada employment agreement dated May 26, 2005		
248	Stipulation: Articles of Incorp.		
249	copy of Pedro Espada's Amex Card		
250	<i>Intentionally left blank</i>		
251	501(c)(3) regulations - TBD		
252	Code One checks		
253	SME Invoice - Dr. Bloch		
254	copies of Dr. Bloch checks		
255	copies of Dr. Bloch checks		
256	GE Service Invoice - Dr. Bloch		
257	Photos of Soundview, and Satellite locations		
258	10/24/08 - Email		
259	Space Utilization Agreement (Weight Watchers)		

GX #	Description	Offered	Admitted
260	Weight Watchers Notice of Change		
261(a) -(c)	Supplier Payment History Report (Weight Watchers)		
262	Weight Watchers Notice of Change		
263	Weight watchers rent checks		
264	1/16/01 letter (Weight Watchers)		
265	Map of Soundview Facilities		
266	Sublease with Bronx Imaging		
267	Bronx Imaging rent schedule (from Pedro Espada's office)		
268	Precision Ultrasound Check to Espada for the People		
269a	CEDC checks - Dinesh		
269b	CCDC checks - Dinesh		
270	Norma note re: 10/08 check re. SME		
271	Mahesh Pharmacy Lease		
271a	Rider to Mahesh Pharmacy lease		
271b	731/Dinesh maintenance contract		
271c	Rider to CEDC Services Agreement		
271d	schedule of subtenants		
271e	Assignment from 731 to CCDC		
271f	Assignment from Mahesh to Dinesh		
272	Board: Mahesh Pharmacy front counter		
272(a)	Board: Mahesh Pharmacy behind Counter		
273	Janitorial Contract between SME and 233 rd Street Dental		
274	CEDC Sublease for Maks Dental		

GX #	Description	Offered	Admitted
275	dental-related agreements		
276	undated letter from Mt. Zion church		
277	2/10/08 letter from CEDC		
278	12/7/06 soundview letter		
279	10/29/08 letter from CCDC		
280	bid proposal (Safety Building) 8/30/07		
281	bid proposal (Safety Building) 9/11/07		
282	bid proposal (Safety Building) 10/2/07		
282(a)	bid proposal (Safety Building) 10/2/07)		
283	bid proposal 8/13/07 (Coverall)		
284	blank intentionally		
284(a)	Soundview telephone bill 9/1/07		
284(b)	Soundview telephone bill 11/1/07		
285	bid proposal 9/18/07 (Capital)		
286	Yukon vehicle for Connie Espada		
286(a)	Stip: GMAC Records		
287	CBS news video		
288	sales receipts (Park Florist)		
288(a)	Stipulation: Park Florist Records		
289	video, Pedro Espada's acceptance speech		
290	1 Norma Ortiz email (10/21/08)		
291	Medicare Cost Report		
292	Letter to HRSA		
293	2/6/03 letter from HHS to Edward White re. CEDC		
294	6/25/10 email from Julia Tsien to HRSA		

GX #	Description	Offered	Admitted
295	5/25/10 letter from Soundview to HRSA		
296	8/2/10 Pedro Espada's letter to Ken Brennan,		
297	6/13/07 letter from Pedro Espada to HRSA		
298	9/12/07 letter		
299	HRSA summary of grant awards from 1995 to 2011		
300	HRSA grant awards		
301	Email - 1/7/09 - Suganthi/Feldman		
302	Outside bids that Soundview provided to HRSA		
303	45 C.F.R. Section 74.43		
304	Bronen's Music Quickreport		
305	Letter re: Response to Grant Conditions dated 8/5/10		
306-50	left blank intentionally		
351	Hurley's copy of Pedro and Connie Espada's 2005 tax return.		
352	CEDC's balance sheet as of June 30, 2005		
353	10/27/06 invoice		
354	Bentley receipt		
355	Lynn Adams letter to Hurley dated 12/7/06		
356	email from Smith to N. Ortiz dated 11/17/06		
357	handwritten Leland Avenue itemized costs list		
358	certified record of Leland Avenue sale (3 pages)		
358(a)	Certified record of Leland Avenue (5 pages) new 3/5/12		
359	PHH Mortgage records for 325 E. 201 st St.		
359(a)	Stipulation: PHH Mortgage		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
360	Mortgage application, Hudson Valley Bank		
360(a)	Stip: Hudson Valley Bank		
361	BAC mortgage refinancing application for 115 Beechwood		
361(a)	Stip: BAC		
362	CEDC 2002 IRS Penalty Notice		
363	6/20/07 - Fax cover		
364	7/12/07 - Fax cover		
365	2006 Pedro and Connie Espada tax return		
366	5/3/07 cover letter and attached ledger		
367	fax cover sheet - 7/11/07		
368	Espada response re. CEDC expenses		
369	7/25/07 letter terminating relationship		
370	2/14/07 letter		
371	document showing sale of CEDC to Soundview		
372	handwritten notes re. capital loss for CEDC		
373	Pedro and Connie Espada's 2006 amended tax return		
374	Pedro and Connie Espada's 2007 tax return		
375	2007 W-2 for Pedro Espada, Jr.		
376	Connie Espada's 1099 for Platinum Placement		
377	Borella (CPA) handwritten notes		
378	Borella (CPA) handwritten notes		
379	Borella (CPA) handwritten notes		
380	Pedro Espada's 2007 amended W-2		
381	Pedro and Connie Espada's amended 2007 tax return		

GX #	Description	Offered	Admitted
382	Pedro Espada's amended 2008 W-2		
383	Carmine and Pedro Espada's 2008 tax returns		
384	Regal Realty operating agreement		
385	SME ledger 2008		
386	SME ledger 2007		
387	blank intentionally		
387(a)	12/28/09 letter from Pedro Espada to CCDC		
387(b)	1/7/10 Pedro Espada letter stating SME derived a profit of \$35,000 for calendar year 2008		
388	Progressive Car Insurance documents		
389	Soundview's 2003 Per Diem Policy		
390	12/19/08 letter to NY Hospital Program		
391	Dr. Orloff unsigned lease		
392	Dr. Orloff equipment services agreement		
393	Pedro Espada reimbursement of legislative expenses		
394	blank intentionally		
395			
396			
397			
398			
399			
400	3/23/07 letter to Dept. of Health		
401	4/15/08 vendor responsibility attestation		
402	Application to Dept. of Health to relocate clinic		
403	CEDC contract 2/11/05		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
404	April 16, 2010 print-out of email with writing		
405	Sylvan Learning Center account history - John Miranda		
406	Sylvan Learning Center account history - John Miranda		
406(a)	Stipulation: Sylvan Learning		
407	Home repairs notes and records		
408	Documents examined by William Riordan (notebook)		
408(a)	Documents examined by William Riordan		
408(b)	Documents examined by William Riordan		
409	Board Minutes 5/29/03		
410	Board minutes 1/27/05		
411	Board minutes 1/31/05		
412	Cabinet minutes 2/7/05		
413	Board minutes 5/26/05		
414	Board minutes 6/30/05		
415	Board minutes 9/29/05		
416	Board minutes 11/29/05		
417	Executive Session 1/26/06		
418	Board minutes 9/28/06		
419	Board minutes Bd Min 2/22/07		
420	Board minutes 4/19/07		
421	Board minutes 7/26/07		
422	Board minutes 9/13/07		
423(a)	Executive minutes 12/11/07		
423(b)	Board minutes 12/20/07		

<u>GX #</u>	<u>Description</u>	<u>Offered</u>	<u>Admitted</u>
424	Board minutes 11/20/08		
425	Board minutes 12/17/08		
426	Board Resolution 12/17/08		
427	blank intentionally		
428	Board minutes 10/13/09		
429	blank intentionally		
430	Stipulation: Soundview Board Min.		
431	Photo of Yukon		
432	Board: Soundview Main Clinic at 731 White Plains Road		
433	Espada Family Tree		
434	Board: Party at 115 Beechwood Drive on 6/6/06		
435	Board: 115 Beechwood Drive		
436	Board: 2007 GMC Yukon		
437	Photo of Clinic		
438	Photo of Diallo Medical Center		
439	Photo of Clinic		
440	Photo of Burnside Medical Center		
441	Photo of Clinic		
442	Photo of Marbella Caribe		

